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**PATENT**  
Attorney Docket No. 226464  
Client Reference No. A 100 629 g

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Schauer et al.

Group Art Unit: Unassigned

Application No. 10/775,891

Examiner: Unassigned

Filed: February 9, 2004

For: METHOD FOR TREATING THE  
SURFACES OF SUBSTRATES

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date

of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:

☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).

*or*

☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

#### Copies of the References

- ☐ Copies of all of the references listed on the enclosed Form 1449 are enclosed herewith.
- ☒ This patent application was filed after June 30, 2003. Accordingly, copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith (see Official Gazette Notice of August 5, 2003). Copies of other references identified on the accompanying Form 1449 are enclosed herewith.
- ☒ Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
- ☐ A copy of the foreign search report is enclosed herewith.
- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were

furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

**Statement under 37 CFR 1.97(e)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- ☒ No fee is owed by the applicant(s).
- ☐ The IDS Fee of \$180 under 37 CFR 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

- ☐ Attached is a check in the amount of \$ .

In re Appln. of Schauer et al.  
Application No. 10/775,891

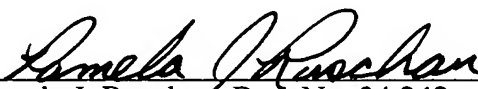
- ☐ Charge Deposit Account No. 12-1216 in the amount of \$ . (A duplicate copy of this communication is enclosed for that purpose.)

**Authorization to Charge Additional Fees**

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

**Instructions as to Overpayment**

- ☒ Credit Account No. 12-1216.  
☐ Refund

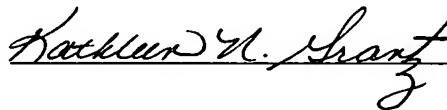
  
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Pamela J. Ruschan, Reg. No. 34,242  
LEYDIG, VOIT & MAYER, LTD.  
Two Prudential Plaza, Suite 4900  
180 North Stetson  
Chicago, Illinois 60601-6780  
(312) 616-5600 (telephone)  
(312) 616-5700 (facsimile)

Date: June 17, 2004

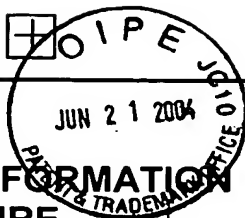
**CERTIFICATE OF MAILING**

I hereby certify that this INFORMATION DISCLOSURE STATEMENT (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendments, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: June 17, 2004

  
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Please type a plus sign (+) inside this box →



Substitute for form 1449A/B/PTO

# SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

## Complete if Known

Application Number	10/775,891
Filing Date	February 9, 2004
First Named Inventor	Schauer et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned

Sheet	1	of	2	Attorney Docket Number	226464
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## U.S. PATENT DOCUMENTS

Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	AA	2002/0048679		Lohmer et al.	Apr. 25, 2002	Jan. 10, 2000
	AB	3,393,162		Cox et al.	Jul. 26, 1968	Oct. 4, 1962
	AC	3,884,871		Herman et al.	May 20, 1975	June 29, 1973
	AD	4,127,422		Guzi Jr., et al.	Nov. 28, 1978	May 25, 1977
	AE	4,173,606		Stoy et al.	Nov. 6, 1979	Apr. 11, 1978
	AF	4,250,227		Claude et al.	Feb. 10, 1981	Mar. 27, 1978
	AG	5,451,459		Ogawa et al.	Sep. 19, 1995	Jul. 28, 1994
	AH	5,460,817		Langley et al.	Oct. 24, 1995	Mar. 12, 1993
	AI	5,492,646		Langley et al.	Feb. 20, 1996	May 14, 1992
	AJ	5,652,316		May et al.	July 29, 1997	Dec. 20, 1995
	AK	5,972,433		Chen et al.	Oct. 26, 1999	Dec. 5, 1997
	AL	6,133,047		Elaissari et al.	Oct. 17, 2000	May 23, 1997
	AM	6,159,457		Mougin	Dec. 12, 2000	Feb. 10, 1998
	AN	6,270,903		Feng et al.	Aug. 7, 2001	Sep. 30, 1999
	AO	6,290,988		Van Vilsteren et al.	Sep. 18, 2001	May 1, 1998
	AP	6,686,046		Schauer	Feb. 3, 2004	Aug. 15, 2002

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Doc. No.	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	Translation	
		Office	Application or Patent Number	Kind Code			Yes	No**
	AQ	DE	199 00 494		Lohmer et al.	Jul. 13, 2000		X+
	AR	DE	28 14 030		Bruno et al.	Oct. 19, 1978		X+
	AS	EP	0 502 576		Pons et al.	Sep. 9, 1992		
	AT	EP	0 629 649		L'Alloret et al.	Dec. 21, 1994		
	AU	EP	0 718 327		May et al.	Jun. 26, 1996		X+
	AV	EP	0 858 795		Mougin	Aug. 19, 1998		X+
	AW	FR	2 738 252		Toyiochi	Mar. 7, 1997		X+
	AX	FR	2 755 972		Grandmontagne et al.	May 22, 1998		X+
	AY	GB	686,269		CIBA, Ltd.	Jan. 21, 1953		
	AZ	GB	1,077,422		Nippon Paint Co., Ltd.	July 26, 1967		
	BA	JP	60-58237		Toru	Apr. 4, 1985		
	BB	WO	00/25938		Hayden	May 11, 2000		
	BC	WO	87/06152		Hoffman	Oct. 22, 1987		
	BD	WO	92/20441		Langley et al.	Nov. 26, 1992		
	BE	WO	97/45202		Elaissari	Dec. 4, 1997		X+

## OTHER - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**
	BF	BOUNDY et al.; Styrene - Its Polymers, Copolymers and Derivatives; 1952; pgs xi-xxii and 1; Reinhold Publishing Corporation; New York, New York.		
	BG	CHOI et al.; Liquid-liquid equilibria of polydisperse polymer systems showing both UCST and LCST phase behaviors; Macromol. Chem. Phys.; 1999; pp. 1889-1896; Vol. 200, No. 8.		

	B H	ELIAS, Polymers, From Monomer and Macromolecules to Raw Materials; 1996; Section 5.1.5; pp 183-184, Hüthig & Wepf, Hüthig GmbH.	X	
	B I	FINCH; Hydrolysis of Polyvinyl Acetate to Polyvinyl Alcohol; Polyvinyl Alcohol – Properties and Application; 1973; pp. 91-121; John Wiley & Sons; London, England.		
	B J	FUJIKI et al.; Radical Grafting from Carbon Black. Graft Polymerization of Vinyl Monomers Initiated by Azo Groups Introduced onto Carbon Black Surface; Polymer Journal, 1990; pp. 661-670; Vol. 22, No. 8.		
	B K	IHARA et al.; Surface Modification of Pigments with Temperature-Responsive Polymer Grafted by Plasma-Induced Polymerization; Journal of Photopolymer Science and Technology; 1998; pp. 315-320; Vol. 11, No. 2.		
	B L	JOHNSON, et al.; Dispersibility of Carbon Black by Polyvinyl Alcohol Solutions; Br. Polym. J.; November 1969; pp. 266-272; Vol. 1.		
	B M	O'BRIEN et al.; Electroacoustic Determination of Particle Size and Zeta Potential; Journal of Colloid and Interface Science; 1995; pp. 406-418; Vol. 173.		
	B N	PARK et al.; Permeation Control through Porous Membranes Immobilized with Thermosensitive Polymer; Langmuir; 1998; pp. 910-914; Vol. 14.		
	B O	SATO et al.; UCST and LCST behaviour in polymer blends containing poly(methyl methacrylate-stat-styrene); POLYMER; 1998; pp. 773-780; No. 4; Vol. 39.		
	B P	SUWA et al.; Effects of salt on the temperature and pressure responsive properties of poly(N-vinylisobutyramide) aqueous solutions; Colloid Polymer Science; 1998; pp 529-533, Vol. 276, No. 6.		
	B Q	TSUBOKAWA et al.; Grafting of Polymers onto Carbon Black Surface by Trapping of Polymer Radicals Formed by Redox Reaction; J. Jpn Soc. Colour Mater; 1999; pp 475-481; Vol 72, No. 8, Japan.		
	B R	TSUDA; A New and Convenient Synthesis of Poly (Vinyl Ester)s; Polymer Letters; 1963; pp. 215; Vol. 1.		

Examiner Signature		Date Considered	
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\* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

+ An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).